# Applications of Higher-Order Model Checking to Program Verification

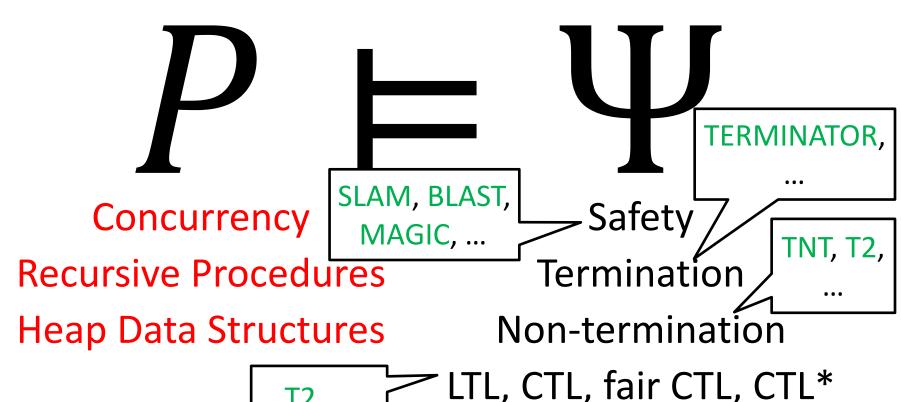
## Hiroshi Unno University of Tsukuba

(Joint work with Naoki Kobayashi, Ryosuke Sato, Tachio Terauchi, and Takuya Kuwahara)

## Success Story: Software Model Checkers for C

**Prove Properties of Program Executions** 

Program: Specification:



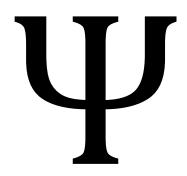
# Challenge: How To Construct Software Model Checker for OCaml?

**Prove Properties of Program Executions** 

Program:

P

Specification:



- Higher-order Functions
- Exception Handling
- Algebraic Data Structures
- Objects & Dyn. Dispatch
- General References

Safety

**Termination** 

Non-termination

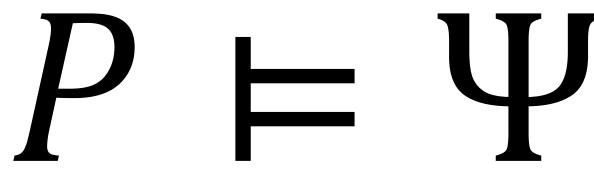
LTL, CTL, fair CTL, CTL\*

# This Tutorial: Software Model Checker MoCHi for OCaml based on HOMC

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Specification:



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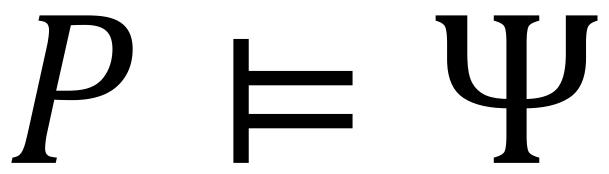
Non-termination  $\omega$ -regular properties

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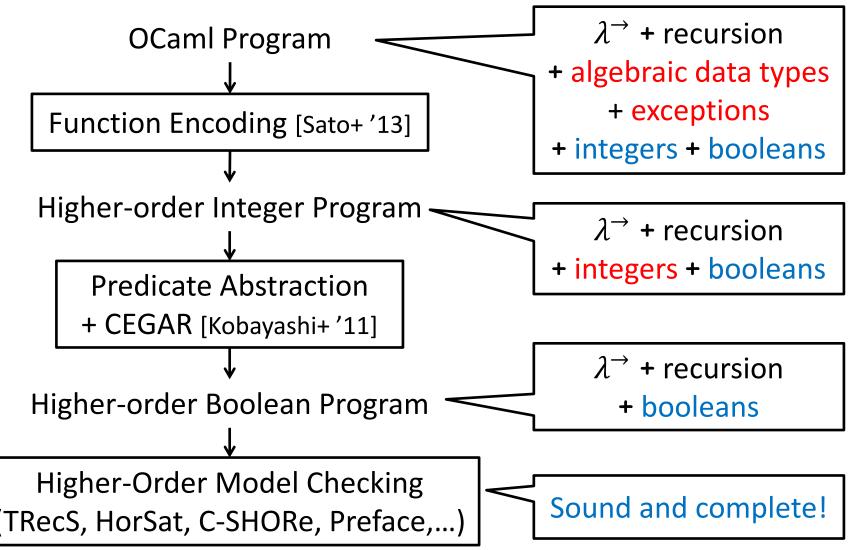
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### Tool Demonstration of MoCHi

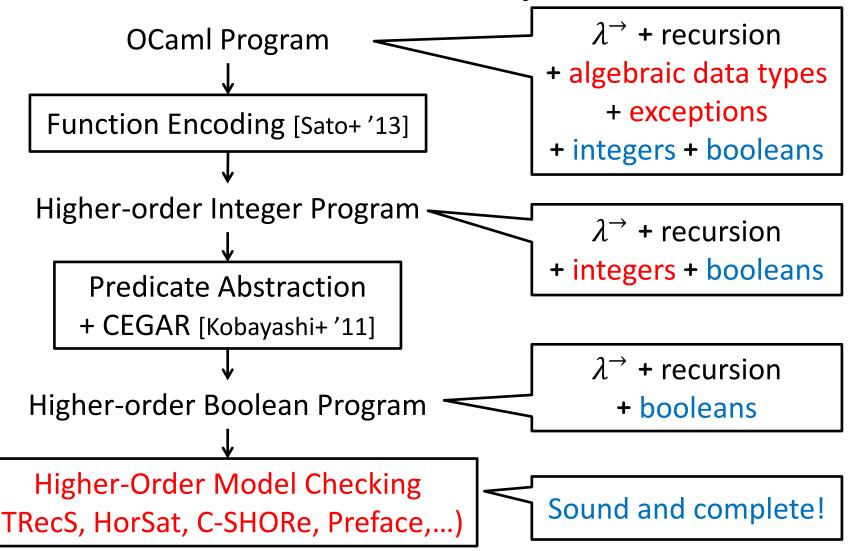
Web interface available from:

http://www-kb.is.s.utokyo.ac.jp/~ryosuke/mochi/

## Overall Flow of Safety Verification



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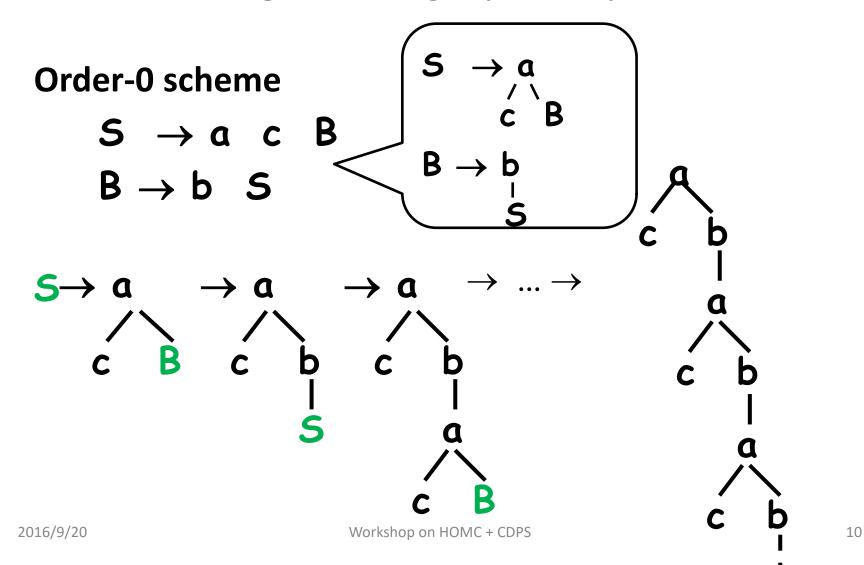
## Higher-Order Model Checking

- A generalization of ordinary model checking:
  - Model the target system as a recursion scheme and check if it satisfies the given specification

Model Checking	Verification Target
Finite state model checking	Simple loops
Pushdown model checking	First-order recursive functions
Higher-order model checking	Higher-order recursive functions

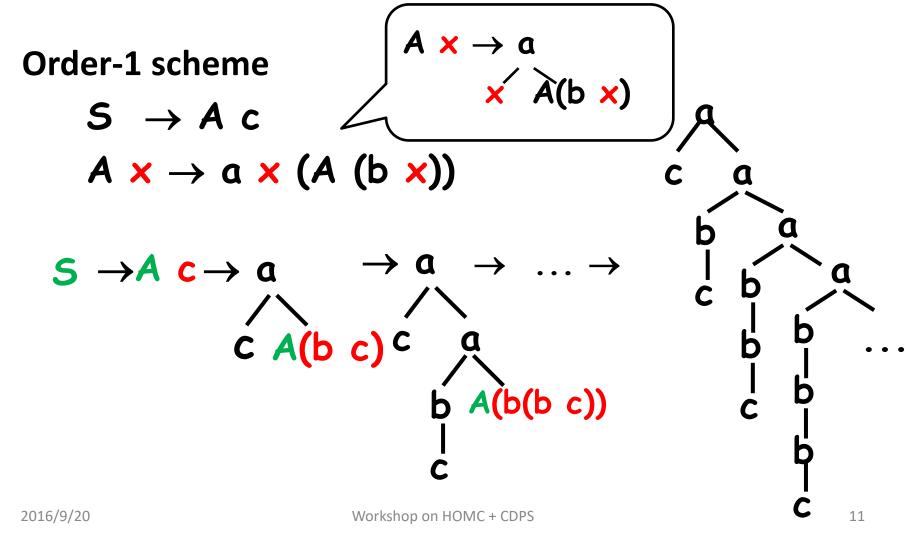
## Higher-Order Recursion Scheme (HORS)

Grammar for generating a possibly infinite tree



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Grammar for generating a possibly infinite tree



## Higher-Order Model Checking

#### Given

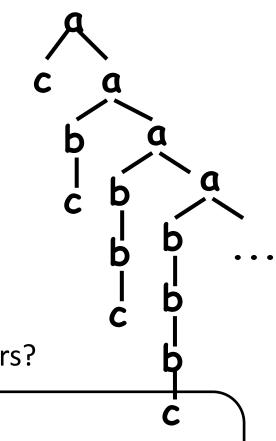
G: a recursion scheme

A: a tree automaton,

 $Tree(G) \in L(A)$ ?

e.g.

- Does every finite path end with "c"?
- Does "a" occur eventually whenever "b" occurs?
- Decidable but n-EXPTIME-complete (for order-n recursion scheme) [Ong '06]
- Practical higher-order model checkers have been developed [Kobayashi '09,...]



## HORS as a Programming Language

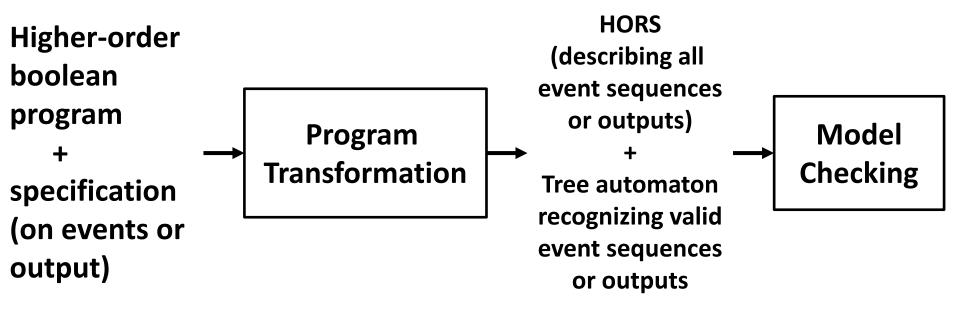
#### Recursion schemes

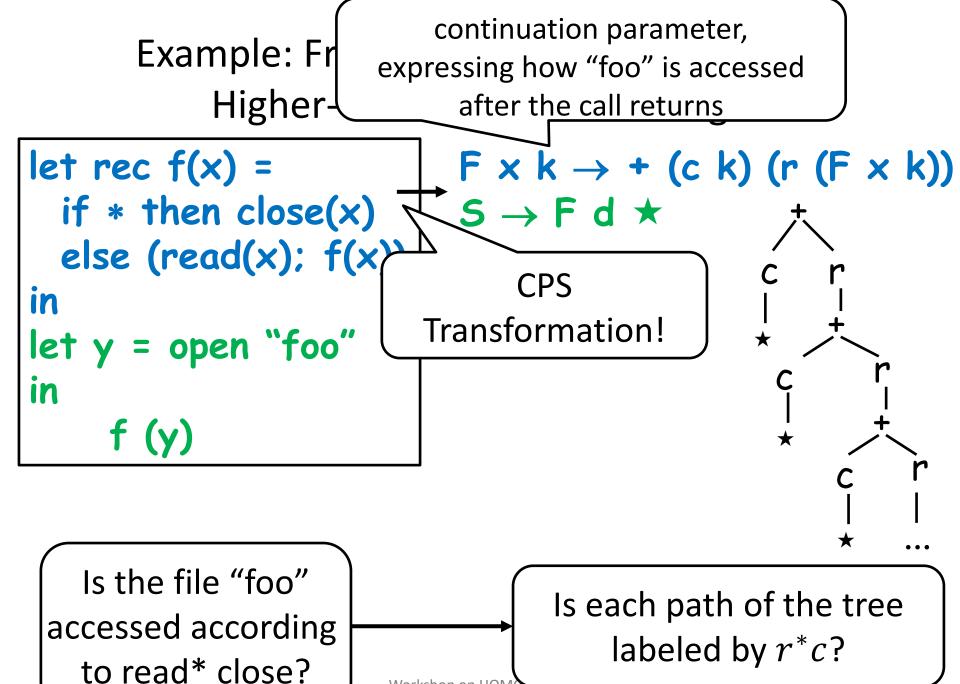
pprox

Simply-typed  $\lambda$ -calculus

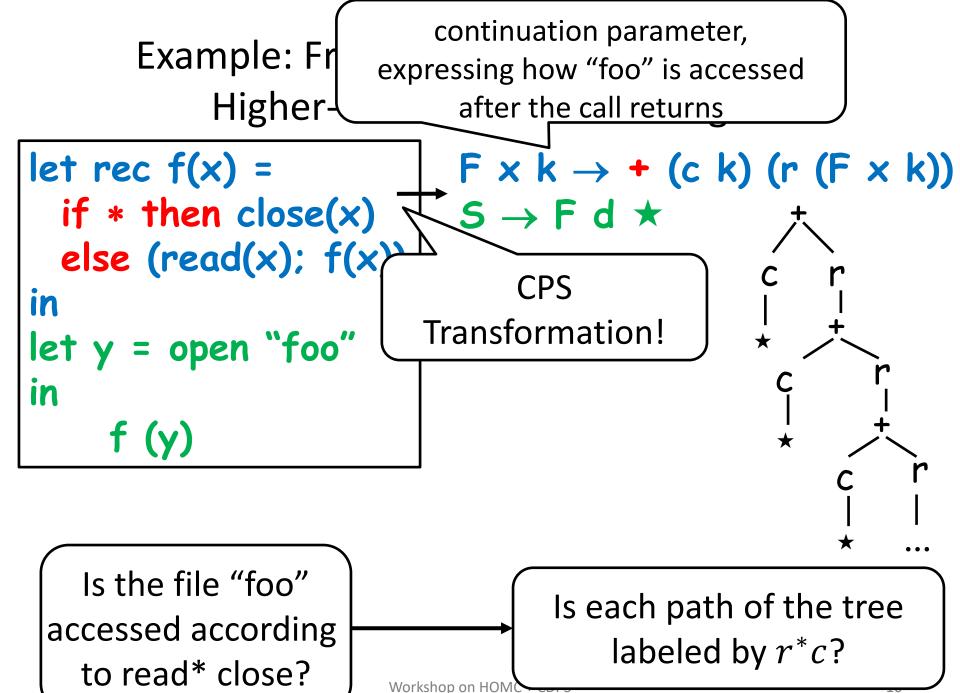
- + recursion
- + tree constructors (but no destructors)
- (+ finite data domains such as booleans)

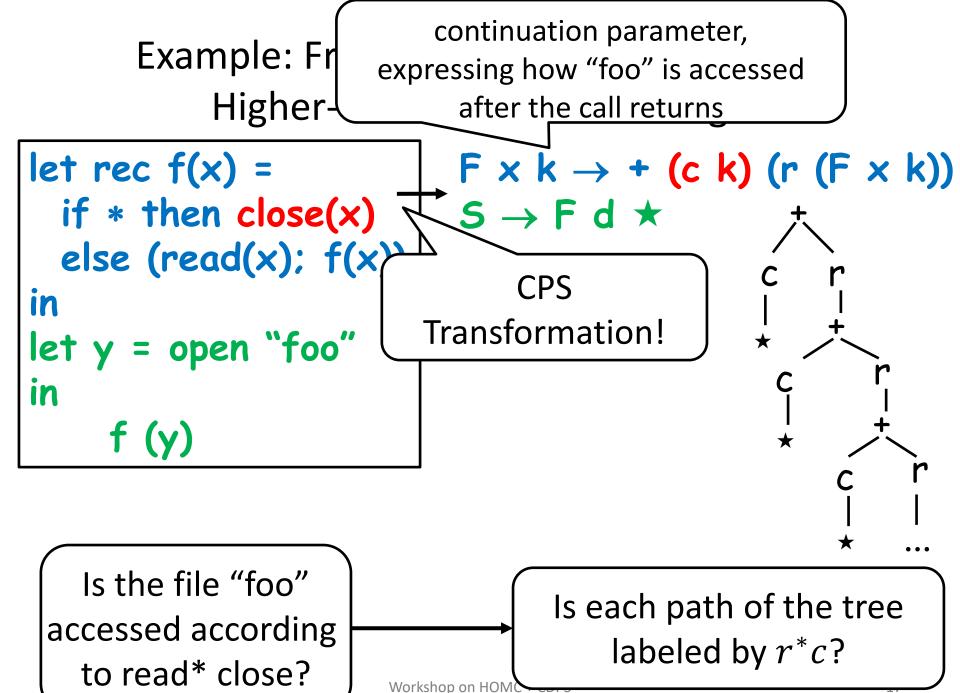
## From Program Verification to Higher-Order Model Checking [Kobayashi '09]

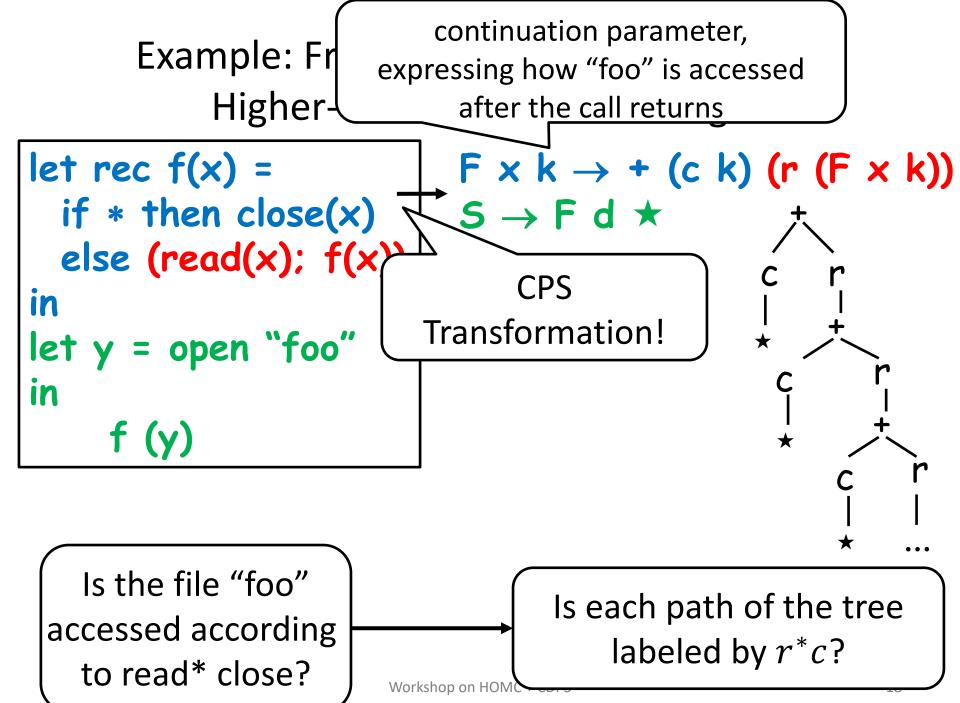




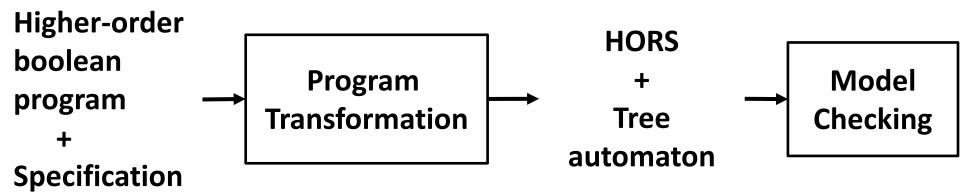
Workshop on HON







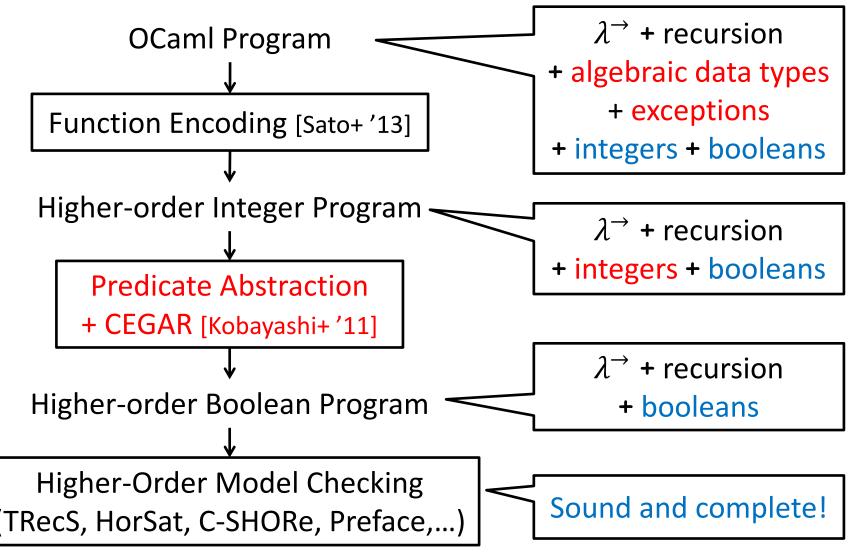
## Program Verification based on Higher-Order Model Checking [Kobayashi '09]



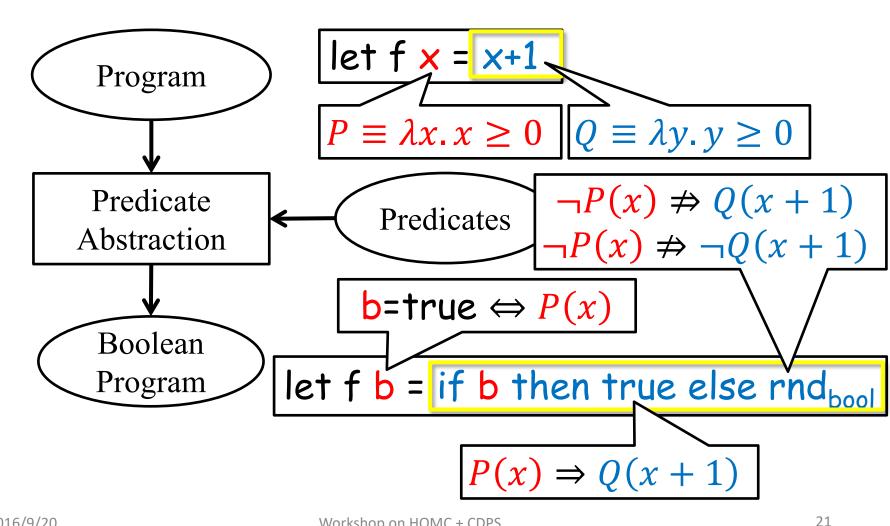
#### Sound, complete, and automatic for:

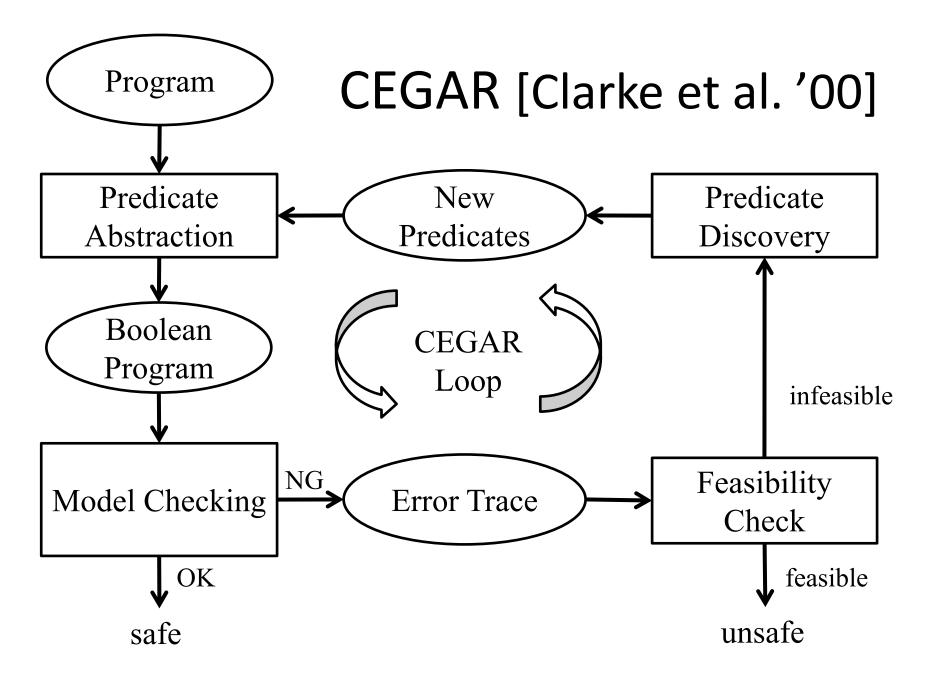
- Simply-typed  $\lambda$ -calculus + recursion
  - + tree constructors (but no destructors)
  - + finite data domains (e.g. booleans) (but not for infinite data domains!)
- A large class of verification problems: resource usage verification, reachability, flow analysis, ...

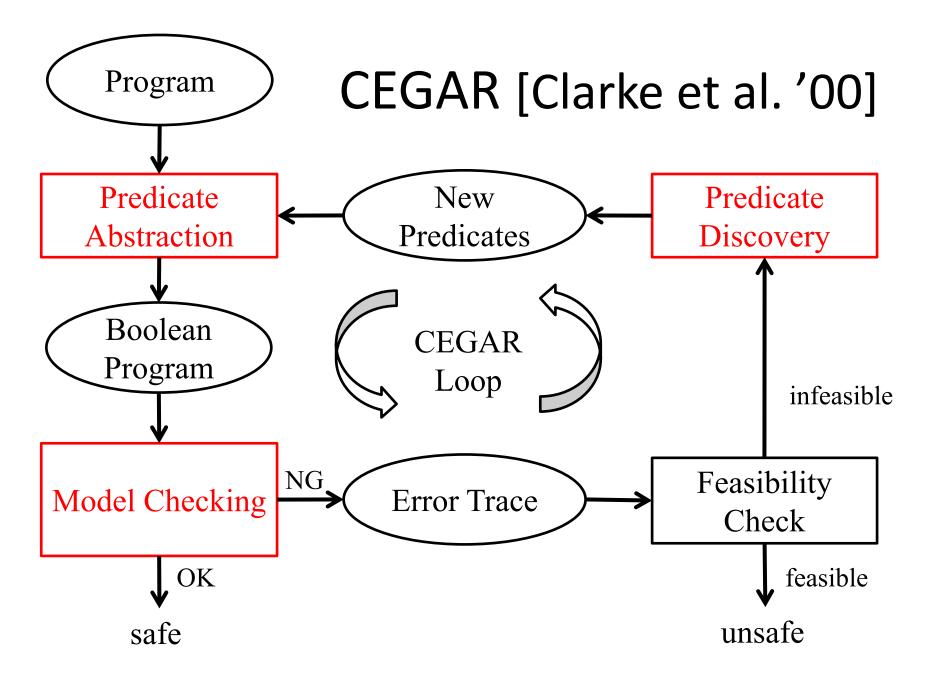
## Overall Flow of Safety Verification



## Predicate Abstraction [Graf & Saidi '97]







## Challenges in Higher-Order Setting

- Model Checking
  - How to precisely analyze higher-order control flows?
  - ⇒ Higher-order model checking!
- Predicate Abstraction
  - How to ensure consistency of abstraction?

- Predicate Discovery
  - How to find new predicates that can eliminate an infeasible error trace from the abstraction?

## Challenges in Higher-Order Setting

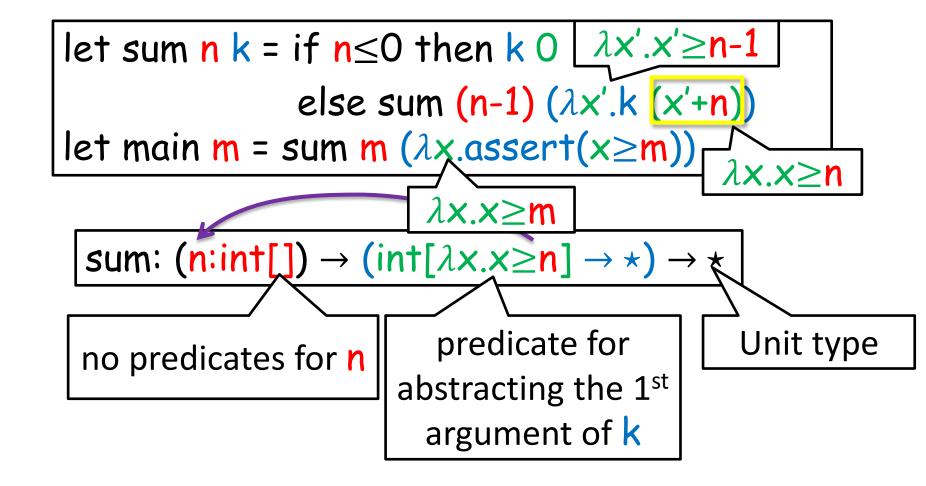
- Predicate Abstraction
  - How to ensure consistency of abstraction?

```
let sum n \nmid x = if \leq 0 then k \neq 0 \lambda \times x' \cdot x' \geq n-1
else sum (n-1)(\lambda x' \cdot k \cdot (x'+n))
let main m = sum m (\lambda x \cdot ussert(x \geq m)) = \lambda x \cdot x \geq n
```

## Our Solution: Abstraction Types

- Specify which predicates should be used for abstraction of each expression
- $\operatorname{int}[P_1, \dots, P_n]$ Int. exps. that should be abstracted by  $P_1, \dots, P_n$ e.g.,  $3 : \operatorname{int}[\lambda x. x > 0, even?] \sim (true, false)$
- $(x: int[P_1, ..., P_n]) \rightarrow int[Q_1, ..., Q_m]$ Assuming that argument x is abstracted by  $P_1, ..., P_n$ , abstract the return value by  $Q_1, ..., Q_m$

## **Example: Abstraction Types**

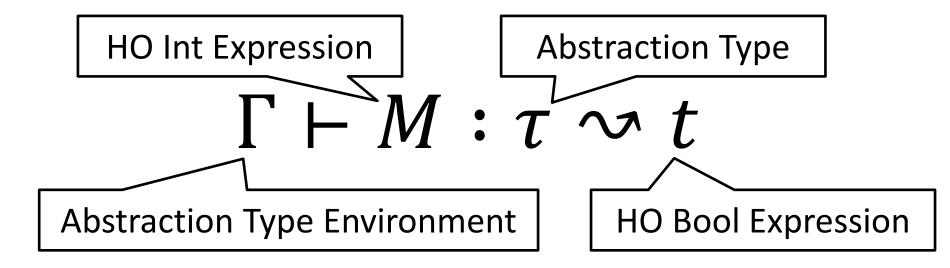


## Example: Predicate Abstraction

```
let sum n k = if n \le 0 then k > 0 \lambda x' \cdot x' \ge n-1
                                                               n>0
                    else sum (n-1) (\lambda x'.k(x'+n))
let main m = sum m (\lambda x.assert(x \ge m))
     sum: (n:int[]) \rightarrow (int[\lambda x.x \ge n] \rightarrow *) \rightarrow *
let sum () k =
                                          x' \ge n-1 \land n > 0 \Rightarrow x'+n \ge n
  if * then k true
        else sum () (\lambda b'.k (if b' then true else rnd<sub>bool</sub>)
let main () = sum () (\lambda b. assert(b))
                  Successfully model checked!
```

2016/9/20

## Type-Directed Predicate Abstraction



$$\Gamma \vdash M : \tau' \to \tau \leadsto s \quad \Gamma \vdash N : \tau' \leadsto t$$

$$\Gamma \vdash M \ N : \tau \sim s \ t$$

Predicate Abstraction Rule for Function Applications

## Challenges in Higher-Order Setting

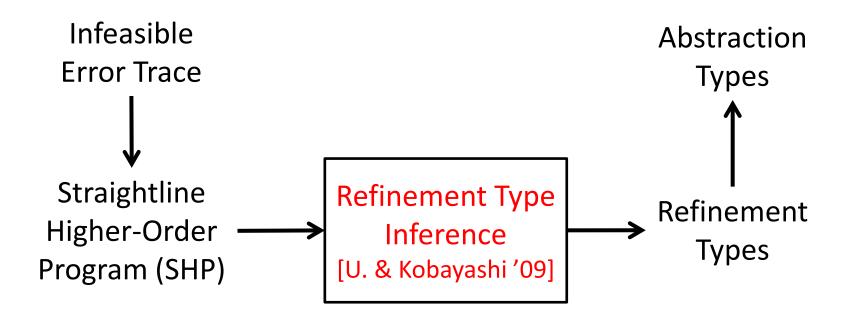
- Predicate Discovery
  - How to find new predicates that can eliminate an infeasible error trace from the abstraction?

## Challenges in Higher-Order Setting

- Predicate Discovery
  - How to find abstraction types that can eliminate an infeasible error trace from the abstraction?

#### **Our Solution**

 Reduction to refinement type inference of a straightline higher-order program (SHP)



## Refinement Types [Xi & Pfenning '98, '99]

•  $\{x: \text{int} \mid x \geq 0\}$ Non-negative integers

•  $(x: \text{int}) \rightarrow \{r: \text{int} \mid r \geq x\}$ FOL formulas (e.g. QFLIA) for type refinement

Functions that take an integer x and return an integer r not less than x

Soundness of refinement type system  $\vdash_{Ref}$ : P is safe (i.e.,  $P \longrightarrow^*$  assert false) if P is well-typed (i.e.,  $\exists \Gamma . \Gamma \vdash_{Ref} P$ )

## Example: Abstraction Type Finding (1/2)

```
let sum n k = if n \leq 0 then k 0
else sum (n-1) (\lambda x'.k (x'+n))
let main m = sum m (\lambda x.assert(x \geq m))
```

```
Infeasible error trace:

main m \to sum m (\lambda x.assert(x \ge m))

\rightarrow if m \le 0 \text{ then } (\lambda x.assert(x \ge m)) \text{ 0 else } ...

\rightarrow (\lambda x.assert(x \ge m)) \text{ 0}

\rightarrow assert(0 \ge m)

\rightarrow fail
```

## Example: Abstraction Type Finding (2/2)

```
let sum n k = if n \leq 0 then k 0
else sum (n-1) (\lambda x'.k (x'+n))
let main m = sum m (\lambda x.assert(x \geq m))
```

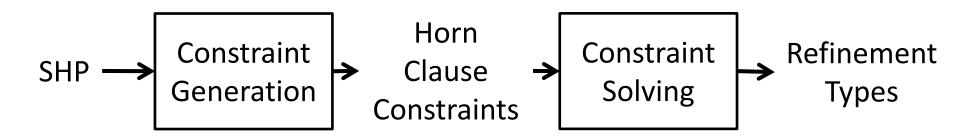
```
main m \to^* if m \le 0 \dots \to^*_{m \le 0} assert(0 \ge m) \to_{0 < m} fail
```

```
Straightline Higher-Order Program (SHP):
let sum n k = assume(n \le 0); k 0
let main m = sum m (\lambda x.assume(x < m); fail)
```

[U. & Kobayashi '09]

```
Abstraction Type: 
sum: (n:int[]) \rightarrow (int[\lambda x.x \ge n] \rightarrow *) \rightarrow *
```

# Refinement Type Inference [U. & Kobayashi '09]



#### **Example: Constraint Generation**

```
Straightline Higher-Order Program (SHP):
let sum n k = assume(n\leq0); k 0
let main m = sum m (\lambda x.assume(x<m); fail)
```

```
Refinement Type Templates:

sum: (n:\{n:int|P(n)\}) \rightarrow

(\{x:int|Q(n,x)\} \rightarrow *) \rightarrow *
```

```
Horn Clause Constraints:

T \Rightarrow P(m)

P(n) \land n \leq 0 \land x = 0 \Rightarrow Q(n,x)

P(m) \land Q(m,x) \land x \leq m \Rightarrow \bot
```

### Example: Constraint Solving (1/2)

```
Horn Clause Constraints:
                              T \Rightarrow P(m)
      P(n) \land n \leq 0 \land x = 0 \Rightarrow Q(n,x)
P(m) \land Q(m,x) \land x < m \Rightarrow \bot
Horn Clause Constraints with P eliminated:
n \le 0 \land x = 0 \Rightarrow Q(n,x)
                     Q(n,x) \Rightarrow (n=m \Rightarrow x \geq m)
                                  Interpolating Prover
              Solution: Q(n,x) \equiv x \ge n
```

#### Interpolating Prover

- Input:  $\phi_1$ ,  $\phi_2$  such that  $\phi_1 \Rightarrow \phi_2$
- Output: an *interpolant*  $\phi$  of  $\phi_1$ ,  $\phi_2$  such that:
  - 1.  $\phi_1 \Rightarrow \phi$
  - 2.  $\phi \Rightarrow \phi_2$
  - 3.  $FV(\phi) \subseteq FV(\phi_1) \cap FV(\phi_2)$
- Example: x≥n is an interpolant of:

$$n \le 0 \land x = 0$$
 and  $n = m \Rightarrow x \ge m$ 

### Example: Constraint Solving (2/2)

```
Horn Clause Constraints:

T \Rightarrow P(m)

P(n) \land n \le 0 \land x = 0 \Rightarrow Q(n,x)

P(m) \land Q(m,x) \land x < m \Rightarrow \bot

Substitute Q(n,x) with x \ge n
```

Horn Clauses with P1 substituted:

$$T \Rightarrow P(m)$$

$$P(n) \Rightarrow (n \le 0 \land x = 0 \Rightarrow x \ge n)$$

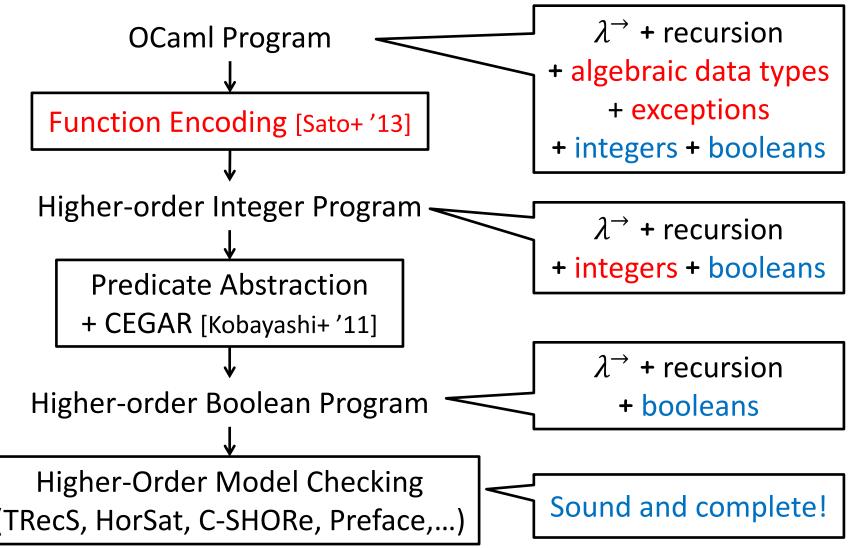
**Interpolating Prover** 

Solution:  $P(n) \equiv T$ 

#### Example: Refinement Type Inference

```
Straightline Higher-Order Program (SHP):
 let sum n k = assume(n \le 0); k 0
 let main m = sum m (\lambda x.assume(x < m); fail)
                  Refinement Type Templates: sum: (n:\{n:int|P(n)\}) \rightarrow
                           (\{x:int|Q(n,x)\}\rightarrow \star)\rightarrow \star
      Refinement Types of SHP:
      sum: (n:\{n:int|T\}) \rightarrow
              (\{x: int | x \ge n\} \rightarrow *) \rightarrow *
```

### Overall Flow of Safety Verification



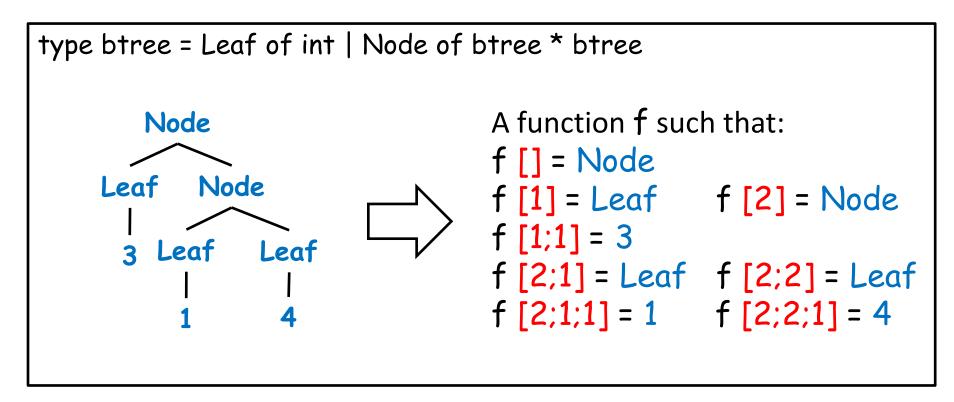
#### **Function Encoding of Lists**

- Encode a list as a pair (len, f) such that:
  - len is the length of the list
  - $-\mathbf{f}$  is a function from an index i to the i-th element
    - e.g., [3;1;4] is encoded as (3, f) where: f(0)=3, f(1)=1, f(2)=4, and undefined otherwise

```
let nil = (0, fun i -> \bot)
let cons a (len, l) = (len + 1, fun i -> if i = 0 then a else l (i - 1))
let hd (len, l) = assert (len \ne 0); l 0
let tl (len, l) = assert (len \ne 0); (len - 1, fun i -> l (i + 1))
let is_nil (len, l) = len = 0
```

# Function Encoding of Algebraic Data Structures

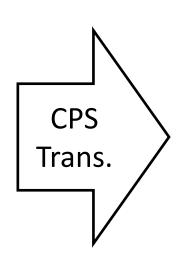
 Encode an algebraic data structure as a function from the path of a node to its label



#### Function Encoding of Exceptions

```
exception NotPos

let rec fact n =
  if n ≤ 0 then
  raise NotPos
  else
  try
  n × fact (n-1)
  with NotPos -> 1
```



```
type exc = NotPos

let rec fact n k exn =
 if n \le 0 then
 exn NotPos
 else
 fact (n-1)
 (fun r -> k (n × r))
 (fun NotPos -> k 1)
```

#### Summary: Safety Verification by MoCHi

- For finite-data HO programs: sound, complete, and fullyautomatic verification by reduction to HO model checking [Kobayashi '09]
- For infinite-data HO programs: sound and automatic (but incomplete) verification by a combination of:
  - HO model checking
  - predicate abstraction & discovery [Kobayashi+ '11, U.+ '09, '15]
  - program transformation [Sato+'13]

Necessarily incomplete but often more precise than other approaches

Sometimes relatively complete modulo certain assumptions

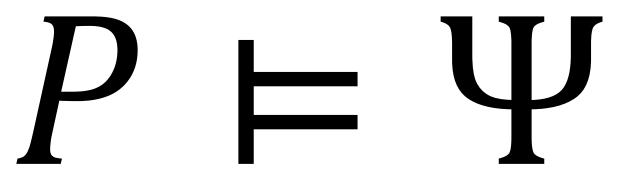
- relatively complete refinement type system [U.+ '13]
- relatively complete predicate discovery [Terauchi & U. '15]

### This Tutorial: Software Model Checker MoCHi for OCaml based on HOMC

**Prove Properties of Program Executions** 

OCaml Program:

Specification:



- Higher-order Functions
- Exception Handling
- Algebraic Data Structures

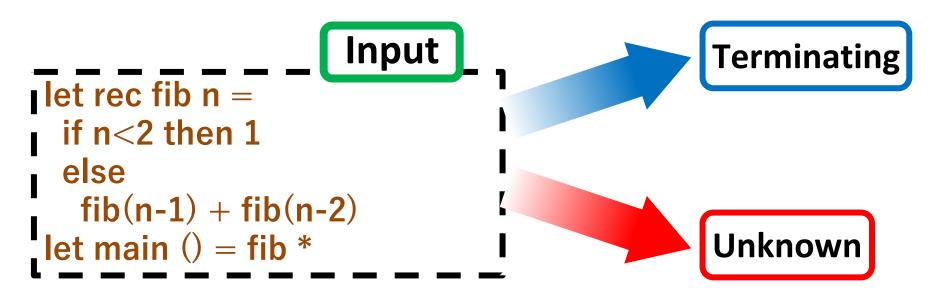
Safety

**Termination** 

Non-termination  $\omega$ -regular properties

#### **Termination Verification**

 Automatically prove that a program terminates for every input (and nondeterminism)



#### Tool Demonstration of MoCHi

Web interface available from:

http://www.kb.is.s.utokyo.ac.jp/~kuwahara/termination/

# 1<sup>st</sup> Naïve Approach to Termination Verification of HO Functional Programs

- Abstract to a finite data HO program, and apply HO model checking
- Problem: many terminating programs are turned into non-terminating ones by abstraction

```
e.g. f(x) = if x < 0 then 1 else 1+f(x-1) terminating \rightarrow f(b_{x<0}) = if b_{x<0} then 1 else 1+f(*) non-terminating
```

# Termination Verification for Imperative Programs

- Binary Reachability Analysis [Cook+ '06]
  - Theorem [Podelski & Rybalchenko '04]: P is terminating iff  $T^+$  is disjunctively well-founded (dwf)
    - T: the transition relation of P
    - dwf: a finite union of well-founded relations

#### Example: Binary Reachability Analysis

# 2<sup>nd</sup> Naïve Approach to Termination Verification of HO Functional Programs

- Check that →<sup>+</sup> is dwf by [Cook+ '06]
  - $\rightarrow$ : the one-step reduction relation of the HO program P
- Problem: [Cook+ '06] needs to reason about change in calling context / call stack
  - Theorem [Berardi+'14, Yokoyama'14]: [Cook+ '06] can only prove termination of primitive recursive functions (when usable wf relations have height at most  $\omega$ )

#### 2<sup>nd</sup> Naïve Approach to Termination

```
let rec ack m n =
  if m = 0 then n + 1
  else if n = 0 then ack (m-1) 1
  else ack (m-1) (ack m (n-1))
let main m n = if m > 0 && n > 0 then ack m n
Terminates but transition relation is quite complex
```

– Theorem [Berardi+'14, Yokoyama'14]: [Cook+ '06] can only prove termination of primitive recursive functions (when usable wf relations have height at most  $\omega$ )

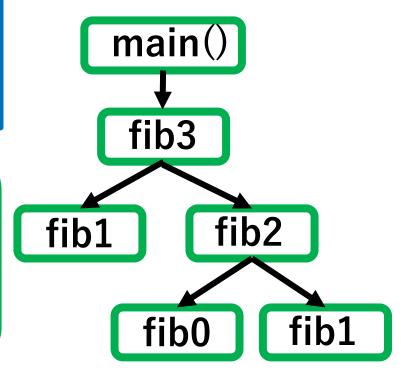
# Our Solution: Binary Reachability Analysis Generalized to HO [Kuwahara+'14]

- Theorem [Kuwahara+'14]: HO functional program P is terminating iff  $Call_P^+$  is dwf
  - The calling relation  $Call_P$  of P:  $\{(f\tilde{v}, g\tilde{w}) \mid g\tilde{w} \text{ is called from } f\tilde{v} \text{ in an execution of } P\}$
  - $-Call_P^+ = \{ (f\widetilde{v}, g\widetilde{w}) \mid main() \to^* E[f\widetilde{v}], f\widetilde{v} \to^+ E'[g\widetilde{w}] \}$

## Example: Generalized Binary Reachability Analysis

```
let rec fib n =
  if n<2 then 1
  else fib (n-1)
     + fib (n-2)
let main()=fib(rand())</pre>
```

Call={(fib(n),fib(n-1))|n>1} U{(fib(n),fib(n-2))|n>1} ⊆{(fib m,fib n) | m>n≥0} (Tree representation)



### Reduce Binary Reachability to Plain Reachability

- Goal: check  $Call_P \subseteq W$  for some dwf W
- Approach: reduction to a safety verification problem by program transformation
  - To each function f, add an extra argument to record the argument of an ancestor call to f
  - Assert that W holds when f is called

```
fib n =
if n<2 then n
else fib(n-1)+fib(n-2)
main() = fib(rand())

W = \{(m,n) \mid m>n\geq 0\}

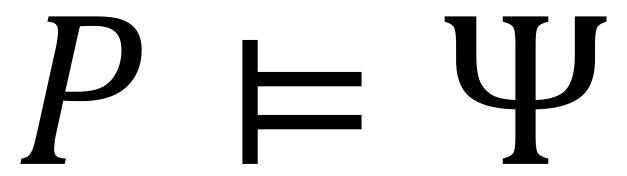
fib m n =
assert(m>n\ge 0);
let m'= if * then m else n in
if n<2 then n
else fib m' (n-1)+fib m' (n-2)
main() = fib \perp (rand())
```

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**Prove Properties of Program Executions** 

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#### Automata-Theoretic Approach [Vardi'91]

- Input:
  - Program P
  - $-\omega$ -regular temporal property  $\Psi$
- 1. Construct  $\omega$ -automaton  $A_{\neg \Psi}$  (with a fairness acceptance condition) that recognizes  $L(\neg \Psi)$
- 2. Construct product program  $P \times A_{\neg \Psi}$
- 3. Verify that  $P \times A_{\neg \Psi}$  is fair terminating (i.e., no infinite execution trace that is fair)

Theorem:  $P \models \Psi \text{ iff } P \times A_{\neg \Psi} \text{ is fair terminating}$ 

#### Definition: Fair Termination of P

- Fairness Constraint:  $C = \{(A_1, B_1), \dots, (A_n, B_n)\}$
- Infinite sequence  $\pi$  is fair wrt C if  $\forall (A,B) \in C$ ,
  - -A occurs only finitely often in  $\pi$  or
  - -B occurs infinitely often in  $\pi$
- P is fair terminating wrt C if P has no infinite execution trace that is fair wrt C

# Fair Termination Verification for Imperative Programs [Cook+'07]

#### • Theorem:

P is fair terminating wrt C iff  $T^{+ \upharpoonright C}$  is dwf

- − T: transition relation of P
- fair transitive closure  $R^{+ \upharpoonright C}$  of R is defined by:

$$R^{+ \upharpoonright C} = \left\{ (s_1, s_n) \middle| \begin{array}{l} \forall 1 \le i < n. (s_i, s_{i+1}) \in R, \\ s_1 \cdots s_n \text{ is fair wrt } C, n \ge 2 \end{array} \right\}$$

(Intuitively means the subset of  $R^+$  that is fair wrt C)

• Finite sequence  $s_1 \cdots s_n$  is **fair** wrt C if  $\forall (A,B) \in C$ , A does not occur in  $s_1 \cdots s_n$  or B occurs in  $s_1 \cdots s_n$ 

# 1<sup>st</sup> Naïve Approach to Fair Termination Verification of HO Functional Programs

- Check that  $\rightarrow^{+ \upharpoonright C}$  is dwf
  - $\rightarrow$ : the one-step reduction relation of the HO program P
- Suffers from the same problem as the 2<sup>nd</sup> naïve approach to plain termination verification of HO functional programs:
  - [Cook+ '07] needs to reason about change in calling context / call stack

# 2<sup>nd</sup> Naïve Approach to Fair Termination Verification of HO Functional Programs

- Check that  $Call_P^{+ \upharpoonright C}$  is dwf
- Unsound: There is a case that  $Call_P^{+ \cap C}$  is dwf but P is not fair-terminating wrt C

```
- For example,

f x = if x \le 0 then () else (f 0; f 1)

C = \{(true, f \ 0)\}

(fair wrt C iff f 0 is called infinitely often) f 0

f = (f \ 0)

f = (f \ 0)
```

### Our Solution: Fair-Termination Analysis Generalized to HO Programs [Murase+'16]

- Check disjunctive well-foundedness of  $\rhd_P^C$ :  $\{(f\widetilde{v},g\widetilde{w})\mid main()\to^* E[f\widetilde{v}],f\widetilde{v}\to^{+\upharpoonright C} E'[g\widetilde{w}]\}$  Note that  $\rhd_P^C$  is  $Call_P^+$  but  $\to^+$  replaced by  $\to^{+\upharpoonright C}$
- Theorem:

P is fair-terminating wrt C iff  $\triangleright_P^C$  is dwf

### How to Check that $\triangleright_P^C$ is dwf?

 By reduction to a safety verification problem via program transformation similar to the one for binary reachability analysis (see our POPL'16 paper [Murase+'16] for details)

# Summary: Plain and Fair Termination Verification by MoCHi

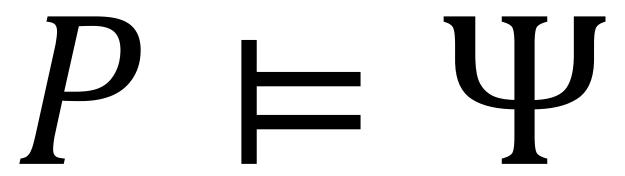
- Naïve combination of HO model checking and predicate abstraction into HO Boolean programs is too imprecise
- Generalize binary reachability analysis to the HO setting by introducing the calling relations  $Call_P$  and  $\rhd_P^C$

### This Tutorial: Software Model Checker MoCHi for OCaml based on HOMC

**Prove Properties of Program Executions** 

OCaml Program:

Specification:



- Higher-order Functions
- Exception Handling
- Algebraic Data Structures

Safety

**Termination** 

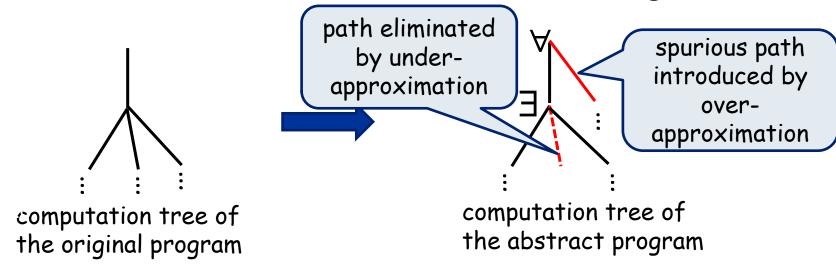
Non-termination  $\omega$ -regular properties

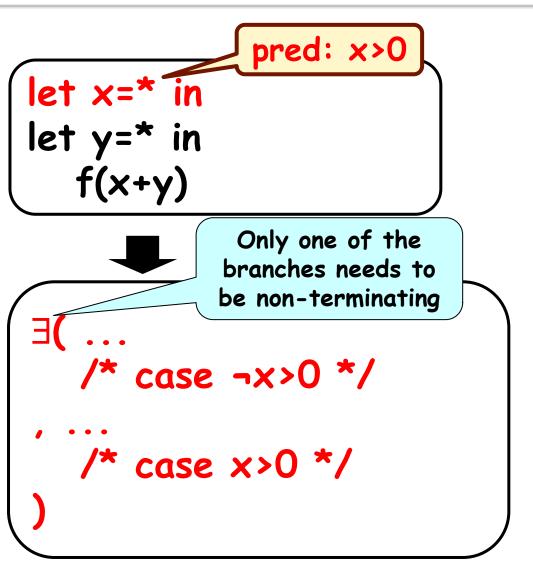
### Verifying Non-Termination (or Disproving Termination) of HO programs

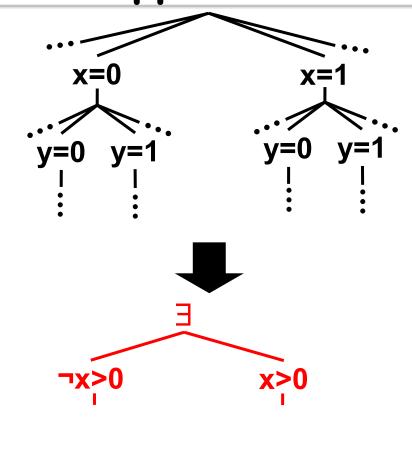
- Goal: prove that a program is non-terminating for some input (or for some non-deterministic choice)
  - complementary to termination verification

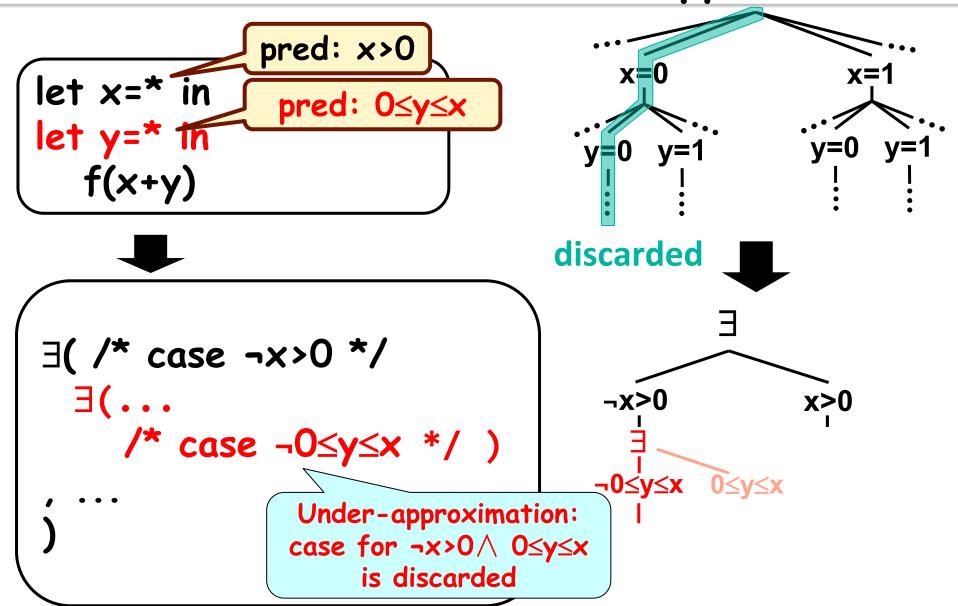
### Our approach [Kuwahara+'15]

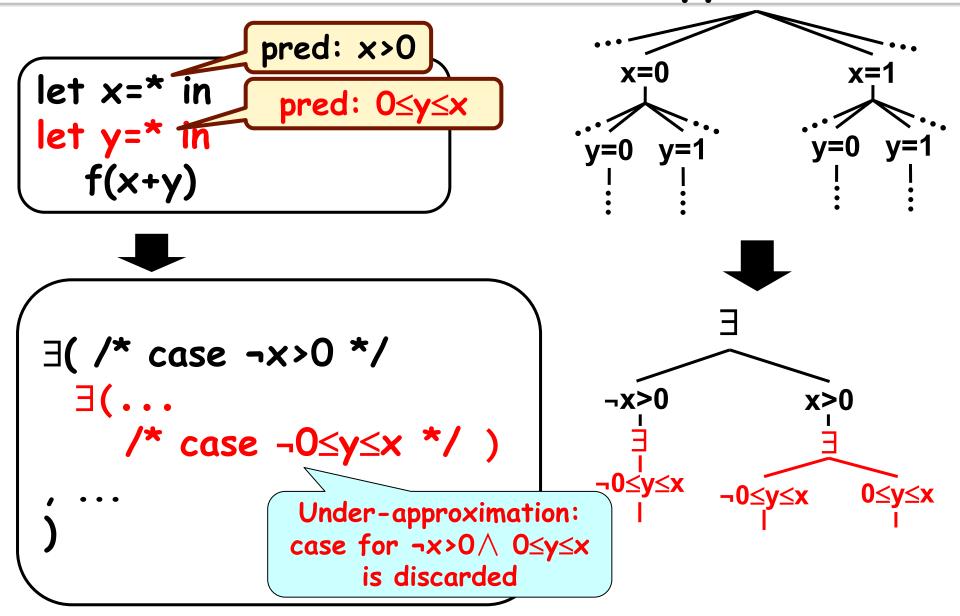
- combine over- and under-approximation
  - over-approximate deterministic branches, and check that all the branches are non-terminating
  - under-approximate non-deterministic branches, and check that one of the branches is non-terminating



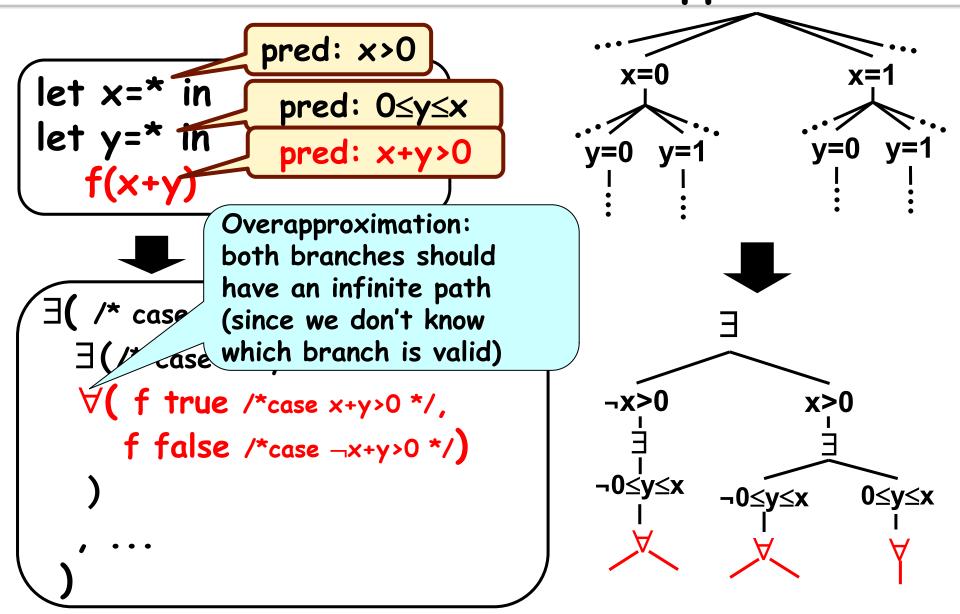






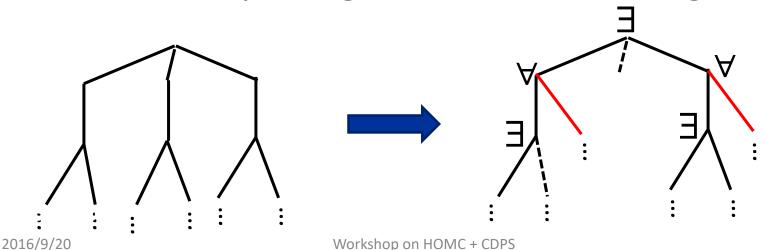


```
pred: x>0
                                        x=0
let x=* in
                 pred: 0≤y≤x
                                                      let y=* th
                 pred: x+y>0
                                      y=0 y=1
\exists ( /* case \neg x > 0 */
  \exists (/* case \neg 0 \le y \le x */
                                       ¬x>0
                                                     x>0
                                       ¬0≤'y≤x
                                                         0≤y≤x
                                               ¬0≤y≤x
```



## Summary: Non-Termination Verification by MoCHi

- Underapproximate non-deterministic computation, and check that one of the branches has a nonterminating path
- Overapproximate deterministic computation, and check that all the branches have non-terminating paths
- Check them by using HO model checking



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#### Conclusions

- HO model checking alone is not enough to construct practical software model checkers for OCaml, Java, ...
- It is often the case that software verification techniques developed for imperative programs cannot be reused in the HO setting
  - Types are useful for generalization to HO